

05/23/01  
j1036 U.S. PTO

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Attorney Docket P1099R1C1  
PATENT

EL 141 797 043 US: Express Mail Number

May 23, 2001: Date of Deposit

j1036 U.S. PTO  
09/863693  
05/23/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

**W. Robert Arathoon  
Paul J. Carter  
Anne M. Merchant  
Leonard G. Presta**

Title: **A METHOD FOR MAKING MULTISPECIFIC ANTIBODIES HAVING  
HETEROMULTIMERIC AND COMMON COMPONENTS**

**1. Type of Application**

- [ ] This application is for an original, non-provisional application.
- [ ] This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- [ x ] This is a [ ] continuation-in-part [ x ] continuation [ ] divisional application claiming priority to application Serial Number 09/070,166, filed April 30, 1998, the entire disclosure of which is hereby incorporated by reference.

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)  
(Non-provisional)**

103 pages of specification  
7 pages of claims  
1 page(s) of abstract  
7 sheet(s) of drawings  
[ ] formal [x] informal

**3. Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
\_\_\_ An executed declaration of the inventor(s) [] is enclosed [] will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
\_x\_ A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
\_\_\_ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment**

*(for new and CIP applications)*  
\_\_\_ An Assignment of the invention to GENENTECH, INC. [] is enclosed with attached Recordation Form Cover Sheet [] will follow.

*(for cont./div.)*  
\_x\_ The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

\_\_\_ Cancel in this application original claims \_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

\_x\_ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119**

\_x\_ Amend the specification by inserting before the first line the sentence:

--This is a

\_\_\_ non-provisional application  
\_x\_ continuation  
\_\_\_ divisional  
\_\_\_ continuation-in-part

of co-pending application(s)

\_x\_ Serial No. 09/070,166 filed on April 30, 1998, which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC §120. --  
\_\_\_ International Application \_ filed on \_ which designated the U.S., which application(s) is(are) incorporated herein by reference and to which application(s) priority is claimed under 35 USC

§120.--

\_\_\_\_\_ provisional application No. \_ filed \_\_, the entire disclosure of which is hereby incorporated by reference and to which application(s) priority is claimed under 35 USC §119.--.

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	6	- 20 =	0	X \$18.00	\$0.00
Independent Claims	2	- 3 =	0	X \$80.00	\$0.00
_____ Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

**9. Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of "Sequence Listing" and a Letter and Request to Use Computer Readable Sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☐ Other:

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ x A Notice of Appeal in the prior application Serial No. 09/070,166 was received in the Patent Office on March 23, 2001.
- \_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

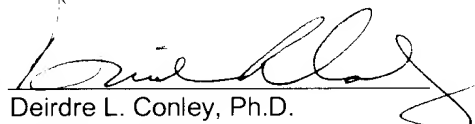
X Address all future communications to:

Attn: Deirdre L. Conley, Ph.D.

Respectfully submitted,  
GENENTECH, INC.

Date: May 23, 2001

By:



Deirdre L. Conley, Ph.D.

Reg. No. 36,487

Telephone No. (650) 225-2066



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PATENT TRADEMARK OFFICE